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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/753,069
				Filing Date	January 8, 2004
				First Named Inventor	Weber
				Art Unit	3621
				Examiner Name	TBA
Sheet	2	of	4	Attorney Docket Number	00322.0008.CPUS01

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	19	M.A. BERRY, et al., "Sorting Out Risks Using Known APT Factors," Financial Analysis Journal 22 (1988), 29-42	
	20	CHAN, et al., "An Exploratory Investigation of the Firm Size Effect," J. of Financial Econ. 14 (1985), 451-71.	
	21	B.A. ROSENBERG, "Extra-Market Components of Covariance in Security Returns," J. Financial and Quantitative Analysis 9 (1974), 263-74.	
	22	S. BECKERS, et al. "The Relative Importance of Common Factors Across the European Equity Markets," J. Banking and Finance 16 (1992), 75-97.	
	23	J.K. KALE, et al., "Industry Factors versus Other Factors in Risk Prediction," working paper University of California, Berkeley (1991).	
	24	E.F. FAMA, et al., "Common Risk Factors in the Returns of Stocks and Bonds," J. Financial Econ. 33 (1992), 3-56.	
	25	B. LEHMAN, et al., "The Empirical Foundation of the arbitrage Pricing Theory," J. of Financial Econ. 21 (1988), 213-54.	
	26	G. CONNOR, et al., "A Test for the Number of Factors in an Approximate Factor Model," J. of Finance 48 (1993) 1263-92.	
	27	"Science and Technology: Digital Rights and Wrongs" The Economist, pp. 75-76, July 17, 1999..	
	28	"HCM Global Technology Fund Limited: Investment Statement", available at www.fantasy.com/brokerage/hcm/tech-is.pdf (available on or after June 1, 1999)	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. T.P.P.

Examiner Signature	/Linda Perry/	Date Considered	10/14/2008
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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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	29	B. Rosenberg "Extra-Market Components of Covariance Among Security Prices" Research Program in Finance Working Paper RPF-013, 1-45, 1973	
	30	B. Rosenberg "Common Factors in Security Returns: Microeconomic Determinants and Macroeconomic Correlates", Seminar on the Analysis of Security Prices, May 13-14, 1976	
	31	Carol Alexander "A Guide to Financial Data Analysis", published by John Wiley & Sons, Ltd., 143-178, 2001	
	32	"On Lines and Planes of Closest Fit to Systems of Points in Space" K. Pearson, Philosophical Magazine and Journal of Science, Vol. 2, Sixth Series, July-Dec. 1901, pp.559-572	
	33	Ameritrade Exchange-Traded Funds- ETF Center: World Wide Web- "Could Exchange Traded Funds Be Right For You" pages 1-2, 2004	
	34	Ameritrade Exchange- Traded Funds - ETF Center: Education - World Wide Web- "Explore the Essentials of EFTs" pages 1-4, 2004	
	35	SEC Concept Release: Actively Managed Exchange-Traded Funds ; http:// www.sec.gov/rules/concept/ic-25258.htm ; last visited 08/24/04	
	36	MAR Headlines ; In Business "Mopex ups ante in ETF patent challenge" Last visited on April 25, 2002	
	37	Random -bits] Gregory Aharonian on Open end mutual fund securitization process patent; pages 1-4; last visited April 25, 2002	
	38	Gregg Greenberg "What's Next for ETFs?", The Street.com, pages 1-2	

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	39	T. Laswing "Active ETF Inching Toward Reality" Ignites.com, June 10, 2004	
	40	T. Bernard " Getting Personal: Active ETF Filing May Be On Horizon" Dow Jones News Service, June 23, 2004	
	41	I. Clary "Actively Managed ETFs on Horizon" Securities Industry News, June 28, 2004, Copyright (c) Thomson Media Inc.	
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